

ANNEX W

FINANCE

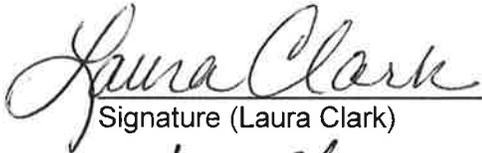
CITY OF

BEAUMONT 

Emergency Management

September 2015

Approval Sheet
APPROVAL & IMPLEMENTATION
Annex W
Financial Considerations


Signature (Laura Clark)

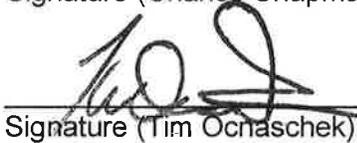
Chief Financial Officer

10/9/15
Date


Signature (Chance Chapman)

Finance Section Chief

10/9/15
Date


Signature (Tim Ochnaschek)

Emergency Management Coordinator

10/9/15
Date

NOTE: The signature(s) will be based upon local administrative practices. Typically, the individual having primary responsibility for this emergency function, signs the annex in the first signature block and the second signature block is used by the Emergency Management Director or the Emergency Management Coordinator. Alternatively, each department head assigned tasks within the annex may sign the annex.

RECORD OF CHANGES

Annex W

Finance

Change #	Date of Change	Entered By	Date Entered

**ANNEX W
FINANCE**

I. AUTHORITY

Federal procurement standards are covered in the revised OMB Circular A-102 and 44 CFR part 13. Texas Government Codes (to include 418.016 suspension of certain laws and rules, 418.074 acceptance and allocation of gifts and grants, 418.107 local finance, 418.1075 suspension of deadlines imposed by local law, 418.118 reimbursement of costs: state request or federal disaster declaration, 418.1181 reimbursement of costs: [mutual aid] request by local government entity, 418.126 pre-event disaster response contracts, 418.152 compensation for services and property, 418.153 compensation claims, along with Texas Government Code 252.021 emergency purchasing power, Texas Administrative Code Title 37, Part 1, Chapter 7, current City of Beaumont Police and Fire union contracts, and City of Beaumont Charter and applicable ordinances and policies;

II. PURPOSE

This annex is for use in preparing for cost recoveries related for all natural disasters, emergencies and major events. The information contained is applicable to all federally declared disasters and emergencies. It outlines the process for emergency expenditures and accounting functions including maintaining an audit trail, billing, paying invoices, and documenting labor, materials, and services used during incident/event activities as well as providing record keeping and facilitating cost reimbursements to maximize the ability to recover financially. Depending on the nature and location of the incident or event, the City will submit reimbursement documentation to one or all of the following: Insurance provider, Responsible Party (RP), Mutual Aid partner, event host, Texas Forest Service (TFS), Texas Division of Emergency Management (TDEM), the Federal Emergency Management Agency (FEMA), the Federal Highway Administration (FHWA), or any other Federal and State agencies providing assistance.

III. EXPLANATION OF TERMS

A. Acronyms

DDC	Disaster District Committee
EMC	Emergency Management Coordinator
EOC	Emergency Operations Center
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System

NIMS	National Incident Management System
SOC	State Operations Center
SOG/SOP	Standard Operating Guidelines/Standard Operating Procedures
TFS	Texas Forest Service
UC	Unified Command

B. Definitions

1. Incident Action Plan. An oral or written plan containing general objectives reflecting the overall strategy and tactics for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of an incident during one or more operational periods.
2. Pass-through Entity – means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program. NOTE: many States and State Administrative Agencies will be considered “pass-through entities” under the new regulation.
3. Recipient – meaning a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include subrecipients. NOTE: the term “recipient” replaces the term “grantee.”
4. Subrecipient – meaning a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency. NOTE: The term “subrecipient” replaces the term “subgrantee.”

IV. SITUATION & ASSUMPTIONS
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A. Situation

The City of Beaumont OEM has an Emergency/Disaster program involving many different departments, as well as public, industrial, business and private entities. During an emergency the City may have the need to obtain a variety of services that will require unbudgeted expenditures. Since disaster situations can occur with or without warning, it is essential that a financial tracking procedure be created and maintained to meet the needs of the City. This procedure should document incident or event related expenditures, and promote fiscal accountability to maximize opportunity for state or federal reimbursements when warranted.

B. Assumptions

1. A well –developed and executed financial system is essential for tracking the amount and types of emergency expenditures incurred during an emergency. Proper documentation will ensure the City receives adequate reimbursement for expenses incurred.
2. City Fiscal year or budget year runs from October 1 to September 30. Emergency Procurement spanning that timeline will have to be accounted for appropriately.
3. In an event or incident large enough to activate a finance section, it is understood that the EOC will be active and the EMC potentially will be part of UC or serving as the IC.
4. If an incident under this subchapter is eligible for state or federal funds, the City shall seek reimbursement from the designated agencies of the state or federal government for the reasonable costs incurred in cleanup operations, including but not limited to costs of personnel, equipment, the use of equipment, and supplies and restoration of land and aquatic resources held in trust or owned by the City.

V. CONCEPT OF OPERATIONS

A. General

1. During an emergency or disaster, all physical resources within the City of Beaumont, whether publicly or privately owned, will be utilized when deemed necessary by the Mayor.
2. The City of Beaumont assumes no financial or civil liability for the use of publicly or privately owned resources; however, accurate records will be maintained for possible reimbursement from State, Local, or Federal entities.
3. Emergency purchasing procedures will be established and records maintained of expenditures for goods, services, and personnel.
4. During emergencies each department head will maintain proper documentation of expenditures. If additional equipment, personnel, and material are required, those requests will be filtered through the Emergency Management Director (Mayor), the Emergency Management Coordinator (EMC) or designee for approval.

5. When emergency expenditures are incurred, forms included in this annex will be completed and copies forwarded to the City Emergency Management Office for specific processing.
6. When the EOC is activated, all incident related expenditures will be submitted through the EOC or EOC Logistics section if established.

B. Phases of Management

1. Mitigation
 - a. Develop an emergency financial procedure consisting of specific categories with pre-assigned Project Worksheet numbers and assigned account numbers for the use of the appropriate department towards obtaining reimbursement of expenses.
 - b. The Finance Section Chief, with support of Emergency Management and the Finance Staff, will develop and implement a specific emergency financial program.
 - c. Train personnel responsible for meeting the requirements of the program to properly provide adequate information for the accounting process.
2. Preparedness
 - a. Ensure that individuals using City emergency funds are authorized to do so.
 - b. Ensure all individuals with the authority to use funds in an emergency have been properly trained on the financial process and requirements outlined in this annex.
 - c. Ensure that personnel have copies of the correct paperwork that will be used to document emergency expenditures.
 - d. Ensure that all department heads and division managers responding to the emergency or disaster are aware of their responsibility for the completion of state/federal required documentation as appropriate.
3. Response
 - a. The Finance Section consisting of the Chief Financial Officer, Finance Section Chief, Deputy Section Chief, as well as Procurement, Cost, Time, and Claim Unit Leaders will be familiar with the Emergency Management Plan and this Annex, and provide information and input relative to the accounting aspects of emergency expenditures.
 - b. Establish and maintain any and all records pertaining to expenditures before, during, and after a major event, emergency or disaster.

- c. In the event an emergency or disaster requires emergency funds, members of the Finance Section as required should report to the EOC.
 - d. Ensure that copies of all forms are sent to the City Emergency Management Office and/or Documentation Unit as soon after the incident as possible.
 - e. Ensure photographs are submitted supporting claims and damaged areas to the extent possible.
 - f. Keep damaged equipment and parts for review and inspection by external damage assessment teams.
 - g. Initiate a separate Project Worksheet (PW) immediately on each facility and /or project.
4. Recovery
- a. Document all emergencies or disaster work so that proper claims can be made for appropriate reimbursement.
 - b. Establish a file for each Project Worksheet (PW) and maintain copied documents such as invoices, pictures, purchase orders, contracts, and corresponding check numbers. Include in the file a summary or worksheet itemizing total cost. Equipment use must have a rate schedule – either a FEMA rate or approved City rate schedule on file.
 - c. Complete records and cost documents for all approved work must be maintained for at least three years from the date of final payment or until audit is completed, whichever is longer.

VI. ORGANIZATION & ASSIGNMENT OF RESPONSIBILITIES
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A. General

The Finance Section is responsible for providing financial services for the incident/event. Services will be provided by the appropriate member(s) of the Finance Section as soon as activated and until the project is closed. Documentation will then be submitted to Documentation Unit and maintained for a period of three years after receiving final payment or until audit is completed, whichever is longer.

B. Finance Section Assignments

Tasks will be assigned to the staff of the Finance Section IAW based on standard ICS precepts. Refer to attached appendices and associated job aids and checklists for specific duties and responsibilities.

C. Departmental Assignments

Individual departments will support financial accountability through:

1. Assigning an appropriate number of Time Monitors and Time Keepers to properly account for personnel activity reports.
2. Ensuring any event/incident related resource request is facilitated through the EOC or Logistics Section once activated
3. Provide timely documentation to the Finance Section as required in the annex and associated appendices

VII. DIRECTION & CONTROL

A. General

1. General management of emergency/disaster operations is provided by the Emergency Management Director (Mayor) and the Emergency Management Coordinator.
2. The Emergency Management Coordinator in accordance with IC/UC and/or Department Directors will determine the personnel to be called for duty during emergency operations.

B. Line of Succession within the Finance Section

1. Deputy Finance Section Chief
2. Chief Financial Officer
3. Cost Unit Leader

VIII. READINESS LEVELS

A. Level IV – Routine Readiness

See the mitigation and preparedness activities in paragraphs V.B.1 and V.B.2 above.

B. Level III - Increased Readiness

1. Monitoring the situation and consider situation briefings for senior staff.

2. Alert key personnel, determine personnel availability, and update time monitor and time keeper call lists.
3. Conduct appropriate time monitor and time keeper training for all departments.
4. Review plans and procedures and update them, if necessary.

C. Level II - High Readiness

1. Activate applicable personnel and make preliminary assignments. Identify personnel to increase staffing, as required..
2. Identify equipment that may be needed, and stage or place on standby.
3. Identify personnel to staff the EOC and ICP when activated.
4. Prepare to implement inter-local agreements, emergency contracts, and personnel accountability and payroll measures.

D. Level I - Maximum Readiness.

1. Mobilize selected or additional Finance Section personnel.
2. Upon declaration of the steps of increased readiness conditions, the Finance Section will maintain awareness of the emergency, and initiate related appropriate planning and support steps.
3. Generate Citywide notification that all purchases are required to be facilitated through the Logistics Section or EOC if no Logistics Section is activated..
4. Raise limits of purchases made on procurement cards for personnel assigned to Logistics.

IX. ADMINISTRATION & SUPPORT

Administration and support of the Finance Section will be accomplished as established for normal operations of the Finance Department. The Office of Emergency Management will provide general support for emergency activities through the Emergency Operations Center.

The Emergency Management Coordinator, the Chief Finance Officer (CFO) or CFO designee will be responsible for the signing and authorizing the PW's for legitimate expenses and reimbursement reports.

X. ADDITIONAL PROVISIONS

The City Office of Emergency Management will file request for advanced funding and/or a request for Responsible Party, Event Host, State or Federal reimbursement as applicable.

Appeals regarding federal reimbursement requests will be submitted through the EOC and IAW FEMA Guidelines.

The Finance Section Chief will coordinate completion of all necessary quarterly reports and other financial reports as required by the state. The original or a copy will then be submitted to documentation for filing.

The Emergency Management Coordinator, the Chief Finance Officer (CFO) or CFO designee will be responsible for the signing and authorizing the PW's for legitimate expenses and reimbursement reports.

XI. ANNEX DEVELOPMENT AND MAINTENANCE

The Office of Emergency Management will be the official repository of this Annex and will coordinate with the Finance Section Chief to outline methods described herein. The Chief Financial Officer is responsible for prescribing the accounting procedures to be utilized.

XII. REFERENCES

- A. State of Texas Division of Emergency Management, 1997. Disaster Recovery Texas Manual.
- B. Title 44, Code of Federal Regulations, Part 206, (44 CFR 206) are the primary FEMA policies and procedures for implementing the Public Assistance Program. The Public Assistance Program is for State and local governments, special districts, school districts, and certain nonprofit organizations.
- C. Texas Division of Emergency Management-T-600 course material.
- D. Stafford Act: Public Law 93-288 as amended by the Robert T. Stafford Disaster Relief and Emergency Assistance Act (PL 100-707) is the authority for FEMA.
- E. Sandy Recovery Act
- F. City Charter

APPENDICES

Appendix 1	Finance Section Guidelines (includes Claims and Cost Unit guidelines)
Appendix 2	Time Unit
Appendix 3	Procurement
Appendix 4	Emergency Contracts
Appendix 5	City Fleet Asset Inventory
Appendix 6	City Facility Inventory, cost & insurance
Appendix 7	Cost Codes (includes FEMA, TIFMAS, and Local)
Appendix 8	Donations
Appendix 9	Mutual Aid
Appendix 10	FHWA
Appendix 11	Federal and State Reimbursement Guidelines
Appendix 12	FEMA Forms
Appendix 13	Fire Labor Contract
Appendix 14	Police Labor Contract

APPENDIX 1

Finance Section Guidelines

INSTRUCTIONS:

Finance Section will file incident/event documentation in the respective incident/event folder on the OEM share drive.

A temporary fund and project number will be established for a major incident requiring incident specific expenditures from multi departments and a declared disaster. However in an extremely large scale incident, a fund will be established by the CFO or designee and will be used with disaster declaration for long term expenses. All eligible expenditures charged to this fund, including payroll expenditures, must be approved by the Incident Commander or designee **and** the Emergency Management Coordinator or EOC Manager. When activated, the Finance Section Chief is hereby designated as an authorizing official for the IC/UC.

Texas Government Code

- Chapter 102.009 allows a municipality to make an emergency expenditure outside strict compliance with its budget only “in a case of grave public necessity to meet an unusual and unforeseen condition that could not have been included in the original budget through the use of reasonably diligent thought and attention.” This standard is strict and few amendments will meet it, but in cases of severe weather damage or another unforeseeable event, the Council could invoke this authority. Local Government Code 102.010 notes that Council may always make budget amendments for City purposes so long as the total expenditures under the budget are not increased.
- Chapter 252.021 and 252.022 deal with emergency purchasing power. Usually, a municipality must go through certain procedures before purchasing an item or service that costs more than \$50,000. However, there is an exemption for purchases that are “made because of a public calamity that requires the immediate appropriation of money to relieve the necessity of the jurisdiction's residents or to preserve the property of the jurisdiction” or “procurement necessary to preserve or protect the public health or safety.”
- Chapter 418 provides special finance authority to the chief elected official during declared emergencies or disasters to include economic stabilization measures such as price, wage and rent controls, issuance of time warrants for the payment of the cost of any equipment, construction, or improvements, and suspension of selected codes and ordinances.
- Chapter 418.107 provides for financing an emergency management organization and for adjustments to normal financial rules in an emergency, to include ability to render aid to another government entity.
- Chapter 418.1075 authorizes suspension of some financial deadlines in case the City is within a federally declared disaster area and inability to comply with the normal deadlines

results from the disaster.

Claims and Compensation Unit:

- ▶ This unit is responsible for reporting and tracking any and all injuries or accidents during incidents or events
 - ▶ Damage can be reimbursed, but “fixing someone” (doctor’s bills, rehab, etc.) is not.
 - ▶ Make sure Finance Section Chief and/or Cost Unit Leader are aware of any accident or injury and the cost associated with it
- Damaged equipment claims will be tracked using the fleet management software and are coded as to whether or not the damage was a result of recovery activity or regular course of business. A report will then be printed and sent to the Cost Unit for tracking.

Cost Unit:

- ▶ **Hazardous Material or Open Burn Incidents:**
- ▶ Procedures are posted on the OEM share drive and in the EOC. Billing is facilitated through the Office of Emergency Management and Central Collections Division of the Finance Department.

- ▶ **Major Events:**
- ▶ Procedures are posted on the OEM share drive and in the EOC. Billing is facilitated through the Office of Emergency Management and Central Collections Division of the Finance Department.

- ▶ **State or Federal Disaster Incidents:**
- ▶ All units should be giving costs to the Cost Unit Leader daily
- ▶ Determine if special reimbursement procedures are necessary based on the Incident/Event (i.e. FHWA or FEMA eligible, Responsible Party, Event Host, etc)
- ▶ Spreadsheet capturing all costs into one summary will be completed to get the daily burn rate
- ▶ Gather all backup information from several units to ensure proper detail is proof for expenses
- ▶ Disaster related activities must be accounted for separately from normal activities
- ▶ The cost accounting system must be designed to capture the following information:
 1. Labor hours worked, both regular time and overtime, on disaster related activities, their pay rate, description of the work done and the work location.
 2. Equipment hours, costs and location where equipment is used.
 3. Material from inventory, costs for material and locations where material is used.
 4. Services or material purchased from outside vendors and costs.
 5. Engineering and other technical consultant’s services under contracts and costs.

Note: The above information is essential to document the City’s loss, especially for Category B- Emergency Protective Measures.

► **Equipment Use:** If the City uses its own equipment, the following criteria should be noted:

1. Unless it creates a lesser benefit, the City will document equipment use based on an hourly rate versus mileage.
2. The City may use its own equipment rates, as long as these rates do not exceed FEMA published rates.
3. FEMA rates will be the primary standard for equipment billing.
4. If all required factors for a particular FEMA cost code do not meet one category of capability, then use the closest category that does meet the required factors.
5. Texas Intrastate Fire Mutual Aid System (TIFMAS) standard equipment costs will be used as a first alternative when FEMA codes are not available.
6. If a particular piece of equipment does not appear in the current FEMA rate schedule, the Finance Section Chief or Cost Unit Leader will work with OEM and the Fleet Division Manager to generate a reasonable rate based on other sources or standard rental rates. Sources include a combination of standard FEMA equipment rates to cover the capabilities of the asset in question, other State or Federal rate standards, or standard rental fees for an asset with similar capabilities.
7. If the asset is owned by the city, the developed cost code will be added to the Fleet Database for that unit number. The Cost Codes can be obtained from the Fleet database or from the Fleet Report Spreadsheet and Cost Codes sheet maintained by Emergency Management.
8. FEMA and DEM approval may be requested for rates established before the disaster.
9. Refer to the OEM Share Drive (Finance Section) for current rates or Appendix ___ in the EOC.
10. Assure the equipment usage logs can be reconciled to the time sheets for individuals assigned to the equipment (idle or standby time is generally not allowable, although rehab time and certain sheltering time may be).
11. Mobilization and demobilization costs should be considered.

Procurement Unit: Refer to Appendix 3

Time Unit: Refer to Appendix 2

APPENDIX 2 TIME UNIT

EQUIPMENT AND PERSONNEL CHECK-IN AND DAILY ACTIVITY REPORTS

Any large event or incident should require personnel accountability system to include initial check-in when arriving for duty. Upon Activation of the EOC, the FEMA form 211e and 211p will be used to record check-in as appropriate. Additionally, each person assigned to the City Operation must complete a Daily Activity Report. One report is required for each operational period.

Operational periods are set by the Incident Commander/Unified Command based on the operational issues and may range from several hours to several months. FEMA rules prohibit reimbursement for work over sixteen hours at one time without significant justification. Unless pre-approved by the Finance Director or CFO and the Finance Section Chief, normal operational periods for EOC activations will be twelve hours.

In large scale incidents, continuity of government and incident related operations become intermingled because of the significant manpower requirements. Only personnel assigned to the incident are necessarily associated with the operational period. However, in emergency scenarios affecting the whole City, there are often requirements for extended 24/7 operations with enhanced staffing which many departments can only provide by recalling additional personnel and splitting them between two shifts each day to provide enough extra personnel to account for surged manpower requirements. This also provides more leeway for mandatory work-rest scheduling as well as coverage for family care requirements, sickness, injuries, etc. Personnel assigned to the incident will not be authorized sleep or rest time unless in formal, justified, and documented rehabilitation requirements or mandatory sheltering as dictated by the IC or EOC. For operations expected to exceed sixteen hours of continuous duty, two shifts providing adequate leadership and services will be identified when pre-planning is possible.

In order to receive reimbursement, the city must be able to show detailed documentation for approved projects. These approved projects will be tracked by the assignment of a Project Worksheet (PW) number to be assigned by the Finance Section. Each approved project will be assigned an individual number.

Payroll and Documentation:

Payroll entry will be accomplished in accordance with Departmental, City and Contractual requirements regardless of operational period, work schedule, or emergency status. A person's activity log (ICS 214) is reflective of his/her support for an operational period, but is not bound by the times established. In other words, the 214 reflects actual payroll hours attributed to one person in support of a particular incident, and will refer to the established operational period supported.

Specialty Payroll Codes:

Standard payroll codes have been used to facilitate cost accounting practices.

- The Finance Department/Section should post payroll codes procedures specific to the incident prior to payroll entries at the end of the 1st operational period.
- City Policy 3.6 (Workers Compensation) addresses on the job injuries.
- City Policy 2.0 (Employee Leave) addresses potential emergency or disaster impacts on payroll coding.
- City Policy 2.9 (Evacuation/Disaster) addresses overtime pay eligibility for exempt personnel in certain emergencies as well as other specialty pay and work considerations during emergencies or disasters.
- City Policies are available on the City of Beaumont Intranet at cobconnect or in the EOC.

Designated Incidents/Disasters:

- Police Overtime- use Police Disaster code O1 and SP for disaster
- Civilian Overtime- use C7 for hrs worked on city closure and C6 for city closure not working; use DO for disaster overtime (as identified by Finance in specific event guidance)

Major Events:

- Police Payroll entry (Overtime)- Use Special Event code O7 and SP
- Civilian Overtime- use specialty code OO and PO for events and DO for Disaster Overtime

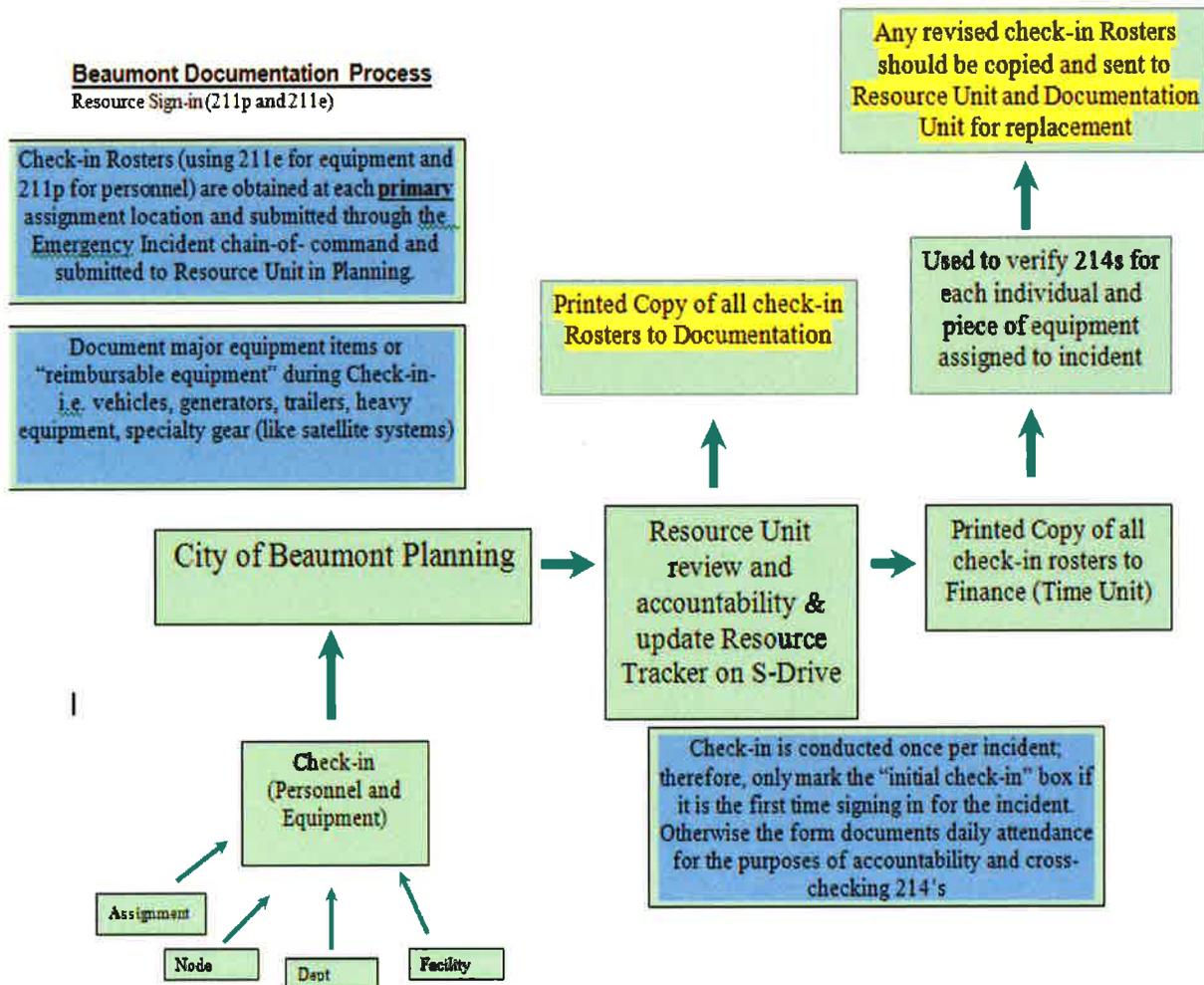
Personnel and Equipment Check-in: (FEMA ICS Form 211e and 211p)

The sign-in or check-in sheets provide for accountability. All personnel should expect to sign in at the beginning of every shift AND at every major work location. Barring emergencies, if no sign-in sheet is observed when entering a facility or work site, the members should find one and sign-in before proceeding to duty. This provides accountability to show who is working a specific area, such as an evacuation point, the EOC, a specific department assignment, etc. The "original check-in" box should only be marked once per incident- only the first occasion checked in for that incident regardless of how many days it lasts. This enables the Resource Unit Leader to quickly identify new personnel assigned. However, every time a member arrives to work, leaves, or changes work locations, he/she should sign in and out for accountability. 211s are sent to the Resource Unit regardless of what check-in location is used. They can be sent by runner, by fax, by City or EOC google email accounts, or through WebEOC depending where the Resource Unit is located.

The check-in logs from both locations will be updated constantly as people come and go, and each time a page gets full, it will be sent to the Resource Unit for update. Then the sheet will be forwarded to the Finance Section, Time Unit.

Time monitors noting an activity log reflecting check-in at several different locations should attempt to verify correlation with the appropriate 211s. The Time Unit can also verify the 211s and 214s coincide. The Resource Unit's manpower spreadsheet provides overall incident check in-out times as 'read-only' and provides a good verification resource when 211s cannot be viewed.

- ▶ 211s – Routing will be the same as 214s below
- ▶ 211p – Personnel Check-In
 - ▶ Operational Period designated by IC/UC and/or Emergency Management.
 - ▶ All personnel involved during the designated operational period will be required to check-in. (i.e. Daily roster – for accountability)
 - ▶ Resource Unit Leader will track all personnel active for the incident/operations
- ▶ 211e – Equipment Check-In
 - ▶ All equipment resources
 - ▶ Use of facility Generators will be documented by Building Services or the individual assigned to monitor/manage the asset



Daily Activity Report: (FEMA ICS Form 214i)

Unless a department has established additional requirements, the ICS form 214i should be left at the checkout location used at the end of that person's shift. The activity log should also reflect the

multiple check-in locations at both places and the "in/out" times should match with the 211s from each location.

- ▶ The 214i is **YOUR** timesheet
- ▶ Only the **ORIGINAL** will be accepted by the Time Unit
- ▶ Must be submitted before 10 am on the following day
- ▶ Department/Division needs to make copies of 214i's prior to submitting the originals to the Time Unit daily
- ▶ All time should be recorded in military format on the 214i
- ▶ Be specific as to work done and the location (site) of the work.
- ▶ Federal Highway Administration (FHWA) section should only be selected if work is being done that is considered under the FHWA. Special notification will accompany any requirement to complete that section.

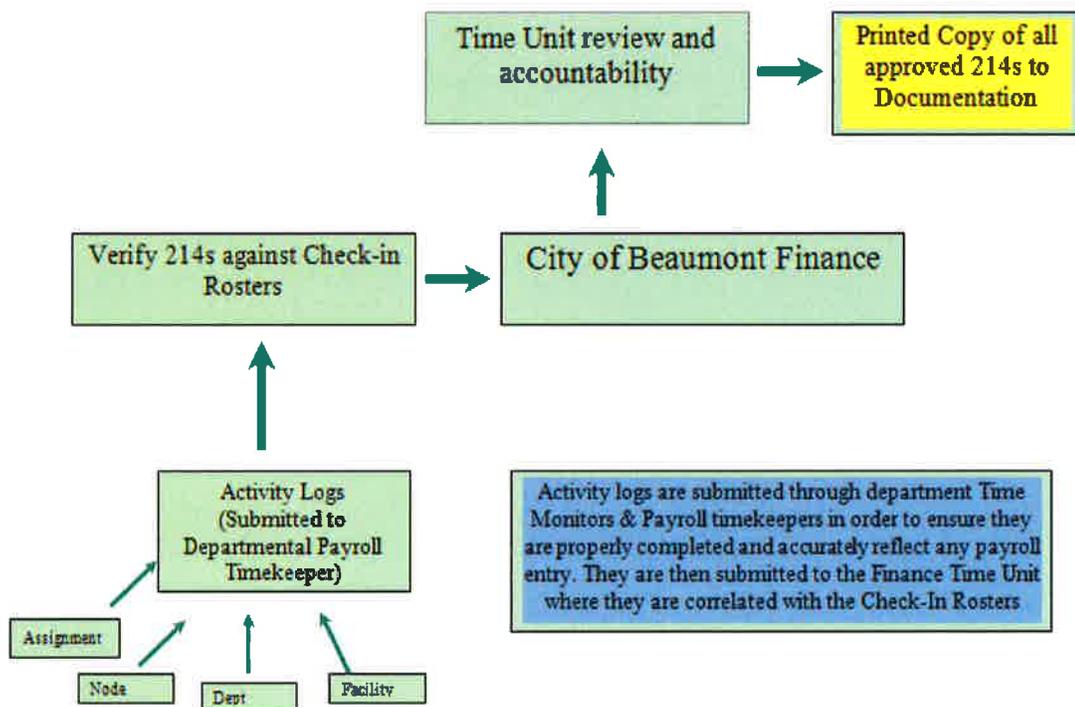
How to fill out a 214i

- All Assigned/Incident-specific Personnel:
 1. Incident Name
 - Example: "Hurricane Carol"
 2. Operational Period
 - Date and Time From – the date and time when the shift begins.
 - Date and Time To – the date and time when the shift ends.
 - Time should be military time (ex: 1700 instead of 5:00 pm)
 3. Individual Name
 - Last, First name as it appears in Payroll. (ex: Chapman, Tommy)
 4. ICS Section
 - Put the ICS section you have been assigned to (such as Operations, Finance, etc.)
 5. Home Agency (Dept / Division)
 - Please provide the name of both the Department and Division (City of Beaumont).
 6. Assignment / Location
 - Assignment – activity
 1. For example: Debris Removal, Evacuee Transporter, Patrol, EMS, etc.
 - Location – the location of the assignment/check-in point.
 1. For example: Westbrook, Civic Center, Ford Park, etc.
 7. Resource Assigned Continued
 1. Record beginning and ending mileage
 2. Enter a brief description of the equipment
 3. Enter a brief description of the activity
 4. The driver/operator is the only person that should claim the equipment
 5. If multiple pieces of equipment are used, then multiple people can claim the equipment on their forms
 8. Significant Events

- ▶ Check in time – This is the time checked-in supporting the beginning of the operational period
- ▶ Record significant events along with the time for the operational period
- ▶ Give a brief but specific description of events performed. No one-word descriptions
- ▶ Any equipment logged in section 7 should correlate to activities performed in section 8
- ▶ Avoid using terms such as sleeping, standby, sheltering, etc.
- ▶ For Police and Fire, make sure to not use “Clearing roads”, instead use “Traffic Control”
- ▶ Check out time – This is the time that the employee was released from duty

Beaumont Documentation Process

Activity (Unit or Individual) Logs (214s)



Oversight:

Time Monitor: Initial Reviewer from submitting personnel

- ▶ Collecting 211p and 211e from check-in process
- ▶ Submit a copy to Resource unit and hold until end of shift (submission by email, WebEOC, faxed,
 - ▶ Gmail email
 - ▶ BeaumontEOCPlanning@ci.beaumont.tx.us
 - ▶ Fax- 409-980-7240
 - ▶ WebEOC- Planning
- ▶ Reconcile 214i with 211p and 211e
- ▶ Ensure 214i activities are commensurate with department and duty assignment
- ▶ Ensure no duplication of equipment between 214s
- ▶ Ensure Driver 214i identifies vehicle information or equipment used
- ▶ Second review verifies timekeeper payroll entry
- ▶ Initials required on each 214i reviewed

Time Keeper: Payroll entry after initial review by Monitor

- ▶ Enter payroll based strictly on 214i after it is reviewed by the Time Monitor for accuracy
- ▶ Ensure appropriate disaster, departmental, or City payroll codes are utilized
- ▶ Print hours proof and return to Time Monitor with 214i

Time Unit:

- ▶ Time Unit Staff (Spreadsheet entry)
- ▶ Time Unit leader (oversight)

Documentation Unit: Upon completion of internal Finance Section Audit, all paperwork will be sent to the documentation unit for filing/archiving.

APPENDIX 3 PROCUREMENT

The State and Federal programs allow the procurement of materials and services using established procurement procedures if they meet or exceed federal procurement standards. This means, while it is acceptable for the City to use its own system, that procurement system must be within the program requirements.

Procurement Standards

Federal standards are covered in the revised OMB Circular A-102 and 44 CFR part 13. These standards are applicable to any procurement expected to exceed \$25,000.

Texas Local Government Code, Chapter 252, and Chapter 418 also cover procurement and provide provisions for emergencies purchases.

City Policies: 7.3 (Procurement Procedures); 7.4 (Procurement Card); 7.11 (Sam's Club Card); 7.14 (Local Bidder Preference); 8.6 (Federally Debarred and Excluded Parties)

Procurement Procedures

- Upon activation of the EOC, the EOC Manager and/or Finance Section Chief notifies all departments and employees of implementation of standardized ICS form reporting upon Checkin as well as implementation of City Closure/City Evacuation policy, local disaster declaration, or EM event/incident
- Once the EOC is activated, all incident/event related purchases will be facilitated through the EOC or logistics section as applicable.
- Logistics will check with City Departments, Donation options, Emergency Management resources, and Citywide Fleet resources prior to requesting purchases, rental, or contract activations.
- It is assumed that in the absence of activating a Finance Section and/or Procurement Unit, for an incident or event, the IC/UC or EOC Manager will facilitate the respective duties outlined in this publication.
- Raise limits of personnel assigned to Logistics for Procurement Card purchases as appropriate.
- A SAM check (City Policy 8.6) denoting clear status is required for **ALL** purchases and **EVERY** contract activation regardless of prior checks.

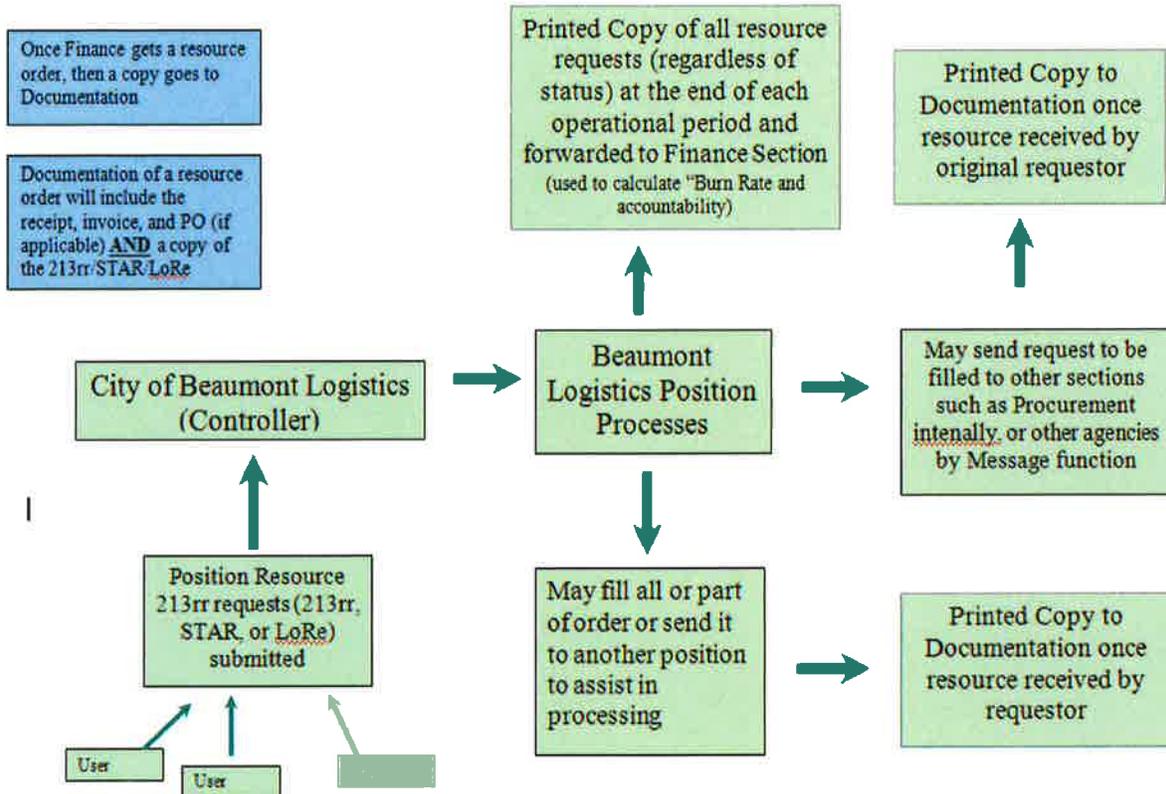
- Equipment Rental is generally preferable for State or Federal reimbursement to purchasing depending on the cost.
- Small purchases will generally require seeking the best price by obtaining three bids/quotes from vendors.
- Noncompetitive negotiation is basically **Sole Source** procurement. The circumstances acceptable for sole source may be:
 1. The item is available from only one source.
 2. Public emergency and urgency will not permit a delay incidental to competitive bidding.
 3. The federal or state funding agency authorizes it.
 4. Competition is inadequate even though work was competitively bid.
- Methods of Purchase include: Procurement Card; Contract, Purchase Order, Check Request; MOU/MAA – should be secondary accounting since we will get billed over 12 hours;

Resource Requests: Depending on the resource provider, use FEMA ICS Form 213 (AKA 213rr for U.S. Coast Guard, Logistics Request (LoRe) for regional WebEOC, or State of Texas Assistance Request- STAR). State requests currently are required to flow through WebEOC and the resource request process depends on which server is used.

- Submit the form to Logistics for processing and filling if possible.
- Logistics will submit the request to Procurement as applicable.
- Procurement will determine the method of purchase and will forward the receipt and the associated 213 to the Finance Section.
- Upon completion of audit, all paperwork will be sent to the Documentation Unit for filing.

Beaumont Resource Request Documentation Process

Resource Requests (213, 213rr, LoRe, or STAR forms required)
 (Logistics is WebEOC City Controller for Jefferson County Request)
 (Logistics is WebEOC County Controller for State request)



Procurement Log: Posted on the OEM Share Drive and on file in the EOC

Contracts

- Emergency Contracts are posted on the OEM share drive and available in the EOC or Purchasing Department.
- A SAM check (City Policy 8.6) denoting clear status is required for **EVERY** pre-disaster contract activation regardless of prior checks. It is also required prior to initiating any new contract.
- Regardless of method used, documentation will demonstrate how contract price was procured.
- Prohibited Contracts: Cost plus a percentage of cost contracts and contingency contracts are **specifically prohibited** by FEMA.
- Time and Materials Contracts should be avoided. They are sometimes used immediately after the disaster incident has occurred when a clear scope of work cannot be developed, i.e., work done to prevent additional damage or deterioration.
- The Time and Materials contract are only acceptable if City personnel carefully monitor and document that the contractor expended the time and materials on eligible work and a cost ceiling or “not to exceed” provision is put in the contract to prevent the contractor from running up costs. An example would be emergency street clearance.

APPENDIX 4
Emergency Contracts

Emergency Contracts are saved in the OEM share Drive (Logistics Section) and available in the local EOC and Finance Department, Procurement Office.

A compilation of emergency contracts entitled: “Emergency Contract Info (publish mo/yr)” is saved on the OEM Share Drive (Finance Section) and available in the local EOC and Finance Department.

APPENDIX 5
City Fleet Asset Inventory

Document named: “Beaumont Fleet inventory (publish mo/yr)” is saved on the OEM Share Drive under “Finance” and is available in the EOC or Finance Department. This document includes unit numbers, division assignment, and FEMA or Local cost codes.

APPENDIX 6
City Facility Inventory, cost & insurance coverage

Document named: “City Facility Cost listing (SOV publish mo/yr)” is saved on the OEM Share Drive under “Finance” and is available in the EOC or Finance Department. This document includes facility, property and insurance values along with construction dates and other key data.

Document named: “INS. - FACILITIES LISTING (publish year)” is saved on the OEM Share Drive under “Finance” and is available in the EOC or Finance Department. This document includes lat/longs and detailed facility data.

APPENDIX 7 COST CODES

FEMA COST CODES

The rates on this Schedule of Equipment Rates are for applicant-owned equipment in good mechanical condition, complete with all required attachments. Each rate covers all costs eligible under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121, et seq., for ownership and operation of equipment, including depreciation, overhead, all maintenance, field repairs, fuel, lubricants, tires, OSHA equipment and other costs incidental to operation. Standby equipment costs are not eligible.

Equipment must be in actual operation performing eligible work in order for reimbursement to be eligible. LABOR COSTS OF OPERATOR ARE NOT INCLUDED in the rates and should be approved separately from equipment costs.

Information regarding the use of the Schedule is contained in 44 CFR § 206.228 *Allowable Costs*. Rates for equipment not listed will be furnished by FEMA upon request. Any appeals shall be in accordance with 44 CFR § 206.206 *Appeals*.

Current document: “FEMA Equipment Rates (publish year)” is saved on the OEM Share Drive and available in the local EOC and Finance Department.

TIFMAS Equipment Typing and Reimbursement Rates

Texas Intrastate Fire Mutual Aid System (TIFMAS) will reimburse for vehicles (Equipment) using an hourly rate identified in the following charts of the TIFMAS Business Manual. TIFMAS will not reimburse per mile nor accept any reimbursements based on mileage. For all equipment mobilized under TIFMAS refer to the charts located in the TIFMAS Business Manual for equipment/vehicle typing and the approved hourly rate. If the personnel assigned to the vehicle are on the clock the vehicle is considered to be on the clock.

The hourly equipment reimbursement rates include all fuel costs. The responding jurisdiction is responsible for the purchase of fuel while on the incident.

If fuel is provided during mobilization through a State contract, the fuel supplier will provide a receipt to the crew with the fuel cost. These receipts should be included with the reimbursement package submitted by the department. These costs shall be deducted on the equipment sheet of the reimbursement forms and will reflect in the total hourly vehicle costs accrued during the incident.

Current document: "TIFMAS Equipment Rates_(publish year)" is saved on the OEM Share Drive and available in the local EOC and Finance Department.

City of Beaumont (Local) Equipment Typing and Reimbursement Rates

These are derived from Available FEMA, TIFMAS, and other standard rate schedules in the absence of pre-identified applicable FEMA or TIFMAS rates.

A number of commonly used City equipment assets in this category have been provided a local rate which has been consistently used for billing purposes in localized events and incidents.

Current document: “FY(publish year) BMT & FEMA reimbursement schedule” is saved on the OEM Share Drive and available in the local EOC and Finance Department.

Appendix 8 Donated Resources and Services

Refer to **Annex T** of the City's Emergency Operation Plan regarding Donations Management

Resources and Services furnished to the City by citizens, businesses, and agencies, as well as those provided by professional and technical personnel, consultants, and other skilled and unskilled labor without cost is considered to be donated service. The value of these services is not reimbursable either as a direct or indirect cost. However, the **value of donated services may be used to meet the City's cost share**. In order to qualify, donated services must be documented in the same manner as force account labor. As part of the support documentation, the department should include, if possible, the social security number of the person donating his services.

Donated resources or services will be valued at rates consistent with customary/ordinary costs paid for similar resources or work during normal City business. If the City does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market.

Acceptance and/or use of donated funding, personnel or equipment resources, or services requires pre-approval for Check-in and tasking. Acceptance must be approved by the Incident Commander or designee, and the Emergency Management Coordinator or EOC Manager. When activated, the Finance Section Chief is hereby designated as an authorizing official for the IC/UC.

Cash Donations: Refer to Tab J to Appendix 4 of Annex T for recommendations and process.

Donated Resources:

During Check-in, donated equipment and volunteers will be identified accordingly by the Resource Unit through the FEMA 211p and 211e forms and appropriate volunteer waiver forms for personnel. The Finance Section will segregate accounting of donated resources from other cost accounts.

Subsequent equipment or volunteer personnel activity reports will be

Donated Services:

1. The original Donated Equipment Record will be submitted to the City Office of Emergency Management.
2. The form will be given to the Recovery & Training Coordinator.
3. The Recovery & Training Coordinator will review the entire form for completeness and accuracy.
4. Review all attached documentation. (Any type of transfer of ownership, description information, titles and etc.)
5. Value information will be entered to the Project Worksheet.

6. The Donated Equipment Record form will then be filed with supporting documentation in the PW file.
7. A copy of the Donated Equipment Record form will be sent to the Auditor's Office for their file.

Volunteers: Refer to Annex T of the City's Emergency Operation Plan regarding processing volunteers

APPENDIX 9

MUTUAL AID

Texas Government Code 418 authorizes Mutual Aid between governmental agencies and provide guidance to activating, funding and reimbursing this process if no pre-arranged agreement is in place. The Code also authorizes establishment of agreements between local agencies where the agreement provides guidance for activating, funding and reimbursing.

Local Mutual Aid Agreements (MAAs), Memorandums of Understanding (MOU), and Memorandums of Agreement (MOA) are pre-established with many local agencies to facilitate pre-coordinated functions and general neighborly support in geographically focused emergencies. Large-scale incidents qualifying for federal disaster declarations often expand beyond the purpose of these local agreements or more often, the local agencies are similarly impacted and thus unable to provide support.

- Specific agreements are posted on the OEM share drive and available in the EOC.
- Activation of local agreement is facilitated through the EOC Manager in coordination with the IC/UC and Finance Section Chief.
- Provision of mutual aid is coordinated through both Emergency Management and the respective Department Head or Functional Manager.
- It is the duty of the providing department to provide appropriate notification when providing mutual aid.
- When the EOC is activated, the Finance Section is the responsible to file all claims for reimbursement from the requesting jurisdiction(s).
- When the EOC is not activated, claims for reimbursement from the requesting jurisdiction(s) will be processed by the Office of Emergency Management.
- It is incumbent upon departments to provide the Finance Section or OEM with complete and accurate documentation for all costs and expenses incurred to provide the requested mutual aid.
- Billing will be in accordance with the respective agreement. Many agreements have a period of non-reimbursable aid to accommodate the more normal assistance requests. Additionally, as a mutual aid provider, regular and overtime hours are eligible for reimbursement. Employee's fringe benefits are also eligible; i.e. FICA, Medicare, retirement contributions, worker's compensation insurance costs, etc. Receipts for reimbursable out-of-pocket expenses are required to substantiate claims.

State mutual aid is facilitated through the applicable State Disaster District Chair. Requests for state aid require a formal emergency or disaster declaration by the Chief Elected Official with the expectation that all local and mutual aid resources have been exhausted. Resource requests must be processed through the EOC where the Mayor or designee (EMC) facilitates submission.

Participation in State Mutual Aid Programs and/or Task Forces:

The City currently has employees participating in several State programs to include:

- Texas Task Force 1 (TTF1)
- Emergency Medical Task Force (EMTF)
- Incident Management Team (IMT)

Financial reimbursement is based on the relevant MOU; however, most State agreements have been tailored in the same manner and reimburse both regular and overtime as well as all fringe benefits **and any required Backfill.**

- Billing for reimbursement in these programs is normally facilitated through the Finance Department.
- It is incumbent upon departments and responding employees to provide the Finance Section or OEM with complete and accurate documentation for all costs and expenses incurred to provide the requested mutual aid.

APPENDIX 10 City of Beaumont FHWA Policy

Purpose:

The purpose of this policy is to provide the City of Beaumont with guidance to effectively navigate the Federal Highway Administration (FHWA) Emergency Relief (ER) program for Texas. This guidance was derived from the standards set forth by the Texas Department of Transportation (TxDOT) in accordance with the *Federal Highway Administration Emergency Relief Program Manual* (23 CFR 635, 668 and 23 USC 120, 125), FEMA Recovery Fact Sheet 9580.214, Sandy Recovery Act, and local requirements.

Definitions:

A *federal-aid highway* is any public road functionally classified above a minor collector or local road.

Background:

- The ER Program provides funds for disaster related repair or reconstruction of Federal-aid highways and roads within the City.
- Approximately 16% of the City's roads are eligible.
- After a disaster, federal funds may become available from several agencies for the reimbursement of response and recovery activities. The Federal Highway Administration (FHWA) Emergency Relief (ER) program is authorized by Congress, through the Highway Trust Fund, for financial assistance in the repair or reconstruction of Federal-aid roadways that have suffered serious damage as a result of a *natural disaster* or a *catastrophic failure* (from an external cause).
- Road Classifications that are FHWA-ER eligible include all designations from Urban Collector and higher.
- As of 2015, the threshold for FHWA-ER is \$700,000 per event and eligible project threshold is \$5,000, while the threshold for FEMA reimbursements is a required combination of \$35M for Texas and \$898,092 for Jefferson County in uninsured costs.
- Typical federal reimbursement is 100% for 180 days on emergency work ("First Push" and "First Pass") and 80-90% for permanent work depending on whether or not the roadway is an interstate.
- FHWA does allow betterments to improve and prevent future damages. Betterments must accompany an FHWA ER eligible repair project.
- The Sandy Recovery Act (MAP-21) provides for FHWA-eligible work to be reimbursed under FEMA rules for concurrent declarations (FEMA and FHWA). However, that work may be limited to debris clearing and removal while other eligible work may have to be separated under FHWA guidelines (such as traffic control related items and work).

Responsibilities:

Public Works must contact their respective local Texas Department of Transportation (TxDOT) district or area office to inform them of damage to a federal-aid highway.

Public Works, in coordination with the Finance Section, must comply with all federal-aid requirements in order for projects to be eligible for reimbursement from the FHWA ER program.

Following a declared disaster, there are two major federal funding processes available to local governments with disaster related costs on public roads: the Federal Highway Administration (FHWA) Emergency Relief (ER) program and the Federal Emergency Management Agency (FEMA) Public Assistance (PA) program. Local governments will be required to manage both funding sources and maintaining proper documentation to receive maximum reimbursement. It is important to understand the following:

- Following MAP-21 and the Sandy Recovery Act, the FEMA PA program will now incorporate the FHWA ER program as long as the presidential declaration approves appropriate categories of public assistance.
- In the event only FHWA-ER funding is available, response and recovery documentation needs to separate FHWA eligible work and expenses from non-eligible work.
- Documentation of pre-disaster roadway maintenance will be mandatory.
- Pre and post- disaster pictures are important.
- For this purpose, an FHWA eligibility column was added to the daily activity sheets (ICS 214B form) to annotate applicable work entries. Additionally, a geographically coded FHWA eligible street database is available for City work management systems (including CAD and Lucity) to enable segregation of FHWA eligible work activities

Following notification to the local TxDOT area or district office of damage in their jurisdiction, the applicant should be aware of the following process:

- A decision to seek FHWA ER funding rests with TxDOT.
- Local agencies apply for FHWA ER funding through TxDOT and not FHWA directly.
- Local agencies are empowered to begin emergency repairs immediately.
- Emergency repair work must be properly documented for reimbursement.

Eligible Work:

Disaster Debris removal (not dumped by others); bridge and roadway repair; inspector time-emergency contracts; certain types of landscape repair; light stands; pump station repair if used to drain water from federal highway; repair of road damage on detour routes; sign and signal repair; traffic control for detours (including portable message boards);

Emergency repairs include:

Repairs to minimize extent of damage; Repairs to protecting facilities; Restoring essential traffic and traffic signs and signals; Emergency road clearing and debris removal

Permanent work must have prior FHWA authorization unless done as part of the emergency repairs or determined to be more economical or practical to perform such work as an associated

part of the emergency repairs.

Environmental Considerations:

Repair projects funded by the FHWA ER program must comply with the requirements of the National Environmental Policy Act (NEPA) of 1969. Emergency repairs to restore essential travel, minimize the extent of damage, or protect remaining facilities are normally exempt under 23 CFR 771.117(c)(9). Permanent repairs to an existing location are also generally exempt (23 CFR Part 771.117(d)).

Force Account Documentation:

Emergency Relief Spreadsheet: The ER spreadsheet lists the repair work that has been completed under FHWA guidelines and is being submitted for reimbursement.

Program of Projects: Description of Emergency Repairs should include the type and extent of damage as well as the estimated emergency repair costs.

Emergency repair justification: Details supporting that the work classifies as emergency work and is eligible for FHWA ER funding.

Location: The specific location and type of federal-aid roadway, including mileposts where available.

Photos: Photos to document the before and after emergency repairs.

Labor, equipment, and materials: Detailed records regarding labor hours, equipment, and materials must be recorded. Labor, equipment, and materials documented must be associated with emergency work performed on federal-aid roads. Labor hours must include name of employees, titles, hourly rates, and fringe benefits. Equipment hours must include description of equipment including manufacturer, model number, and capacity (volume, horsepower, etc.). Materials must include description and quantity.

Debris Removal and Disposal Considerations:

Must be able to segregate debris costs attributable to federal and non federal-aid roadways

Permissible to pro-rate debris monitoring and site-related costs between federal and federal-aid roadways

First pass completion documentation

Environmental permitting of disposal sites is required

Preparedness activities to help streamline the FHWA ER program:	Responsible Party
Identify the task lead in your agency for the FHWA ER program.	Finance
Identify responsible Departments/Divisions to coordinate FHWA work.	Budget; EM; S&D; GIS
Review pre-existing emergency and permanent work contracts for compliance with the FHWA ER program.	S&D, EM and Purchasing
Identify any contracts requiring competitive bid for emergency work	Procurement (Disaster

and they are executed using the proper procurement policies.	Ops)
Establish a process for proper documentation of force account and identify a task lead to maintain this documentation.	Finance
Ensure documentation task lead is properly trained on how to manage and separate documentation of force account labor for the different reimbursement programs.	Finance and Documentation
Coordinate with emergency contractors to ensure their documentation process is compliant with the FHWA ER program.	Procurement/Purchasing
Review road maintenance records to ensure they are current and managed properly.	Streets & Drainage
Ensure geographical information system (GIS) information is current, available, and managed properly.	IT and Situation Unit
Coordinate with local TxDOT district or area office prior to an event.	EM
Identify roadways within a jurisdiction to differentiate between FHWA and FEMA classes.	EM, IT and TxDOT

Documentation Process:

- a. Individual activity reports are collected on ICS Form 214s. The form was adjusted to provide an indicator that a specific activity is potentially FHWA eligible.
 - 1. Work management systems from the City of Beaumont to include CAD and Lucity, other as implemented. Crystal reports for each have been built to provide a basic report of potential work eligible for FHWA funding using the following criterion.
 - i. Nature codes from each system which may potentially be input that are relevant to areas previously identified as eligible for FHWA funding based on current guidance. Examples include: traffic control, replacement of signage, road clearing, etc
 - ii. Data queried from incident reports, dispatches and calls for service, work orders, and problem logs
- b. Time monitor collects all 214s
- c. Finance section should identify eligible FHWA activities on the 214s
- d. Finance section should coordinate with the Planning section to help separate eligible and non-eligible roadways with GIS data comparisons and work management system segregation.

- e. In order to receive FHWA reimbursement, a Detailed Damage Inspection Report (DDIR, Form FHWA-1547) is required. This form summarizes equipment, labor and materials for emergency repair and permanent restoration on Federal-aid roads. FEMA equipment, labor and materials forms and FEMA equipment rates can be used to document activities that are summarized on the DDIR, however, a detailed log must be maintained documenting emergency and repair activities on Federal roads.
- f. A map and listing of FHWA eligible roads is available on the OEM share drive or EOC.



U.S. Department
of Transportation
**Federal Highway
Administration**

DETAILED DAMAGE INSPECTION REPORT

(Title 23, Federal-aid Highways)

Report Number _____

Sheet _____ of _____

Location (Name of Road and Milepost) _____

FHWA Disaster Number _____

Inspection Date _____

Description of Damage _____

Federal-aid Route Number _____

State _____ County _____

Cost Estimate

Emergency Repair	Description of Work to Date (Equipment, Labor, and Materials)	Unit	Unit Price	Quantity	Cost	
					Completed	Remaining
Method				Subtotal	PE/CE	
<input type="checkbox"/> Local Forces <input type="checkbox"/> State Forces <input type="checkbox"/> Contract						
				Emergency Repair Total		
Method				Subtotal	PE/CE	
<input type="checkbox"/> Local Forces <input type="checkbox"/> State Forces <input type="checkbox"/> Contract						
				Perm. Repair Totals		
Environmental Assessment Recommendation				Estimated Total		
<input type="checkbox"/> Categorical Exclusion <input type="checkbox"/> EA/EIS						
Recommendation				FHWA Engineer		Date
<input type="checkbox"/> Eligible <input type="checkbox"/> Ineligible						
Concurrence				State Engineer		Date
<input type="checkbox"/> Yes <input type="checkbox"/> No						
Concurrence				Local Agency Representative		Date
<input type="checkbox"/> Yes <input type="checkbox"/> No						

Form FHWA-1547 (Rev. 4-98)

Save Data Only
Clear Form
Save Data & Form

APPENDIX 11 REIMBURSEMENT GUIDELINES

Responsible Party (RP) or Event Host Reimbursement: Standard billing procedures are posted in the OEM share drive and available in the EOC.

State and Federal Reimbursement:

For the purpose of Annex W, all work activities in which the City of Beaumont will seek reimbursement from either State or Federal agencies will consist of the following categories:

I. CATEGORIES OF WORK

EMERGENCY WORK:

Work that is immediately necessary to save lives, protect and preserve property, and to provide temporary facilities to restore essential public services.

Category A. Debris Management to include the removal and disposal of debris on public roads and streets, including rights of way, non-federal public waterways, public property and buildings, and private property in some cases when undertaken by local government forces. This category can be used for public buildings to be torn down which are beyond repair. It can also cover the cost of demolition of public structures, if those structures were made unsafe by the disaster.

Category B. This category addresses the need to provide appropriate emergency measures designed to protect life, safety, property and health (i.e., barricades, sandbags, police and fire personnel work, and boarding up facilities in some cases).

For **Categories A and B**, equipment used is an eligible cost; however, only overtime wages and the related fringe benefits of permanent employees and all labor costs of extra hires are normally eligible. FEMA may elect to include regular time as an eligible cost but that is rare. Regardless, departments must keep track of both regular and overtime hours worked on the provided timesheet and reconcile the hours worked with the equipment reported on the FEMA Force Equipment Summary (in Excel format).

If employees would normally carry out these tasks as a regular part of the job assignments, and the costs are incurred in the normal course of their work, the costs **will not be eligible** for FEMA reimbursement. On the other hand, if outside contractors are hired to carry out these activities, the total cost of their services would be eligible for reimbursement.

PERMANENT WORK:

Work that is required to restore underinsured and uninsured damaged facilities to pre-disaster conditions.

- Category C. Road Systems, to include the repair of Roads, Bridges, Traffic Control devices, Streets, Culverts, etc.
- Category D. Water Control Facilities, to include the repairs of Dikes, Levees, Dams, Drainage Channels, and Irrigation Works.
- Category E. Public Buildings and Equipment to include public buildings, supplies or inventory, vehicles or other equipment, public transportation systems, and higher education facilities.
- Category F. Public Utility Systems to include damaged water systems, landfills, sanitary sewer systems, storm drainage systems and light/power facilities.
- Category G. Other items to include Park Facilities and Recreation facilities.

For **Categories C through G**, gross salaries or wages, which include regular, overtime, and fringe benefits, are eligible for FEMA reimbursement. In order for the City to be reimbursed for wages, the department is required to keep track of all hours worked on disaster related activities and must reconcile the hours worked with the equipment used. This includes both small and large projects.

When the decision is made to approve public assistance funding, FEMA will also specify which of the above seven reimbursement categories will be applicable.

II. Project Formulation

The first step the department needs to take is to fully document the extent of the department's damages and to plan the repair work. As part of their documentation, the department should either photograph or videotape all damaged sites. **Digital pictures in JPEG format are preferable.** This process of documenting the eligible facility, the eligible work and the eligible costs for damaged projects is called project formulation.

Project formulation allows the department to consolidate similar work items into projects in order to expedite approval and funding, and to facilitate project management. A project is a logical method of performing work required as a result of the declared event. The department can include more than one damage site in a project. This offers flexibility in organizing and managing the work that needs to be done.

Some examples of project formulation:

- **Specific Site**–All work at a specific site may be a project, such as a single road washout site. This method is often used if the site has special considerations.
- **Specific Facility**–All work on a bridge may be a project, or restoration of a building and its contents may be a project. This method is used most often for large projects.
- **Type of Damage**–All work under a specific category may be a project such as debris removal (Category A) or all work at certain types of facilities may be a project, such as all gravel roads on one project and all paved roads on another.
- **System**–All work to a system may be a single project, for example, repairs to the water distribution system including multiple waterline breaks may be a project.
- **Jurisdiction**–All work within a specific area such as a park may be a project or all work within a department, such as the Police Department, Fire Department, and Water Resources Department may each be a project.
- **Method of Work**–A project may be grouped around how the work will be completed. For example, all work completed under a single contract may be a project or all work undertaken by a force account crew may be a project.
- **Complex**–For extensive damage to several facilities at a complex (for example, Fleet Maintenance Complex) all damage at the Fleet Maintenance Complex could be combined into one project, or separated into several projects, such as roof repairs, or work done by a single contractor, or all repairs done by force account.
- **Special Consideration**–A project may be grouped by special issues that might take longer to resolve, such as environmental or historic concerns.

In addition, more than one category of work may be combined into a single project if the combination is practical. For example, if the project is to repair a park (Category G) it may include work to repair a road within the park (Category C). For the most part, emergency work (Categories A and B) should not be combined with permanent work (Categories C through G) unless the emergency work is incidental to the permanent repair. For example, some debris removal (emergency work) may be required prior to repairing undermining of a bridge abutment (permanent work). Since the debris removal is incidental to completing the bridge repair, the work may be formulated on a single project.

Wherever possible, including emergency work as part of the permanent work is encouraged because regular time is eligible under permanent work.

Note: If sites are combined in such a way that the cost estimate exceeds the large project/small project threshold, the project is considered a large project. This is true even if all individual sites within the project are damaged less than the large project threshold amount.

Formulated projects will result in one of four types of projects with different funding restrictions. The four types of projects are:

- **Small Project**—A small project is any project which has a cost estimate less than the current threshold for small projects. The state and county thresholds change every October 1 based on the Consumer Price Index (CPI). Funding for small projects is based on the approved estimate to complete the scope of work. If the applicant discovers a significant cost overrun related to actual cost to complete all estimated small projects, then an appeal may be submitted for the additional funds within 60 days of completing the last small project.
- **Large Project**—A large project is any project which has a cost estimate greater than the threshold for small projects. All large projects are funded based on actual costs to complete the eligible scope of work. The funding for each large project will be adjusted after all work is complete.
- **Improved Project**—An improved project is any project (large or small) where the applicant chooses to make improvements (not required by any applicable code, standard, or hazard mitigation measure) to the facility while making disaster repairs. Funding for improved projects is limited to the approved federal estimate to complete the eligible scope of work. The State may approve an improved project. However, FEMA must review the project for compliance with environmental and historic statutes and other special considerations that apply. If improvements are required (e.g., ADA ramp) the project is not considered an improved project, but an environmental review may still be required.

An example of an improved project would be if a two-lane bridge was destroyed by a flood event and the City decided to build a four-lane bridge in its place. In this example, FEMA funding would be limited to the costs associated with building a two-lane bridge.

- **Alternate Project**—An alternate project is any permanent restoration project (large or small) where the applicant chooses to abandon the facility rather than make disaster repairs. The applicant may use any federal share funds, limited to the approved federal estimate to complete the eligible scope of work, at another facility. There is a 10% reduction in the FEMA funds for all alternate projects. FEMA must perform an environmental review and approve all alternate projects.

An example of an alternate project would be if the City decides not to rebuild a destroyed community center and builds a new library instead.

II. RECORD KEEPING REQUIREMENTS

Records of all emergency expenditures must be maintained three years upon receipt of final payment or until audit is completed, whichever is longer. In order for the City to meet state and

federal guidelines for reimbursement, detailed specific activities must be documented according to the following:

- A. Complete the FEMA Disaster Response and Recovery Notice of Interest Appendix 1
- B. Complete the Designation of Applicant Agent Appendix 2
- C. Reimbursement Guidelines Appendix 3
- D. Purchase Order Requisition Guidelines Appendix 4
- E. Complete the Daily Activity Report Appendix 5
- F. Complete the Force Account Labor Summary Record Appendix 6
- G. Complete the Payroll Claim Form Appendix 7
- H. Complete the Material Record Appendix 8
- I. Complete the Rented Equipment Record Appendix 9
- J. Complete the Contract Record Appendix 10
- K. Complete the Volunteer Manpower Record Appendix 11
- L. Complete the Donated Equipment Record Appendix 12

APPENDIX 12 FEMA FORMS

Current Excel Workbook: "Master of FEMA forms (Disaster Recovery n finance)" is saved on the OEM Share Drive (Finance Section) and available in the local EOC and Finance Department.

FEMA NOTICE OF INTEREST

Each Agency interested in applying for Federal Disaster Assistance must complete the Notice of Interest Form. The purpose of this form is to list damages to property and facilities so that inspectors may be appropriately assigned for formal survey.

INSTRUCTIONS

In Order to receive assistance from FEMA this document must be completed and turned in to the Governor's Authorized Representative at the Applicants Briefing, but **not later than 30 days after** the Jurisdiction is designated eligible for Public Assistance.

The Office of Emergency Management is responsible for completion of this form

The following steps are used in completing this form.

- 1.) Enter the Declaration Number assigned by FEMA.
- 2.) The Project Application Number or FIP # will be assigned and filled in by FEMA.
- 3.) Enter the Date the Notice of Interest is completed.
- 4.) Fill in the appropriate boxes for the categories of damages to the City.
- 5.) Enter the Political Subdivision or Eligible Applicant.
- 6.) Enter the City.
- 7.) Enter the City's Representative 1 (Mayor).
- 8.) Enter the City's Representative 2 (EMC).
- 9.) Enter the Business Address and Business Telephone for both Representative 1 and 2.

Standard Operating Procedure for the FEMA Notice of Interest

Procedure:

- 1.) The Office of Emergency Management will complete the FEMA Notice of Interest Form.
- 2.) The Notice of Interest Form will be submitted to the Governor's Authorized Representative at the Applicant's Briefing.
- 3.) A copy will be retained for the City's records.

DESIGNATION OF APPLICANT'S AGENT

Each City must designate an Applicant's Agent by completing the Designation of Applicant's Agent Form. The purpose of this form is to designate a Primary and Secondary Agent that are authorized to execute and file Application for Public Assistance on behalf of the City for obtaining certain state and federal financial assistance. This agent is authorized to represent and act for the City in all dealings with the State of Texas for all matters pertaining to such disaster.

INSTRUCTIONS:

The Office of Emergency Management for the City is responsible for completion of this form.

The following steps are used in completing this form.

- 1.) Enter the Organization Name
- 2.) Enter the Agent's Name
- 3.) Enter the organization
- 4.) Enter the Official position
- 5.) Enter the mailing address
- 6.) Enter the City, State, and Zip Code
- 7.) Enter a daytime telephone number
- 8.) Enter a facsimile number
- 9.) Enter a cellular number. (Enter the above information for the Primary Agent, Secondary Agent, Chief Financial Officer, and the Certifying Official). The Primary and Secondary Agents are assigned by the Mayor or designee.
Note: Agents will be assigned by a collaborative decision of the Mayor, Manager, CFO and EMC
Primary Agent will normally be the EMC
Secondary Agent will normally be the CFO
Certifying Official will normally be the City Manager
- 10.) Enter Applicant's State Cognizant Agency, Texas Department of Public Safety Division of Emergency Management.
- 11.) Enter Applicant's Fiscal Year (start)
- 12.) Enter Applicant's Federal Employer's Identification Number.
- 13.) Enter the Applicant's State Payee Identification Number.
- 14.) Must have the Certifying Official's Signature.

**FEDERAL EMERGENCY MANAGEMENT AGENCY
PROJECT WORKSHEET**

INSTRUCTIONS

The Project Worksheet must be completed for each identified damaged project.

**Projects with estimated or actual cost of damage greater than \$54,100 (FY 05) are large projects.
Projects with estimated or actual cost of damage less than \$54,100 (FY 05) are small projects.**

After completing Project Worksheets, submit the worksheets to our Public Assistance Coordinator.

Identifying Information

Declaration No.: Indicate the disaster declaration number as established by FEMA (i.e., "FEMA 1136-DR-TN," etc.).

Project No.: Indicate the project designation number you established to track the project in your system (i.e., 1,2,3,etc.).

FIPS No.: Indicate your FIPS number within this space. This is optional.

Date: Indicate the date the worksheet was prepared in MM/DD/YY format.

Category: Indicate the category of the project according to FEMA specified work categories. This is optional.

Applicant: Name of the governmental or other legal entity to which the funds will be awarded.

County: Name of the county where the damage is located. If located in multiple counties, indicate "Multi-County."

Damage Facility: Identify the facility and describe its basic function.

Work Complete as of: Indicate the date that the work was examined in the format of MM/DD/YY and the percentage of work completed to that date.

Location: This item can range anywhere from an "address," "intersection of..." "1 miles south of ...on..." to "countywide." If damages are in different locations or different counties please list each location. Include latitude and longitude of the project if known.

Damage Description and Dimensions: Describe the disaster-related damage to the facility, including the cause of the damage and the area or components affected.

Scope of Work: List work that has been completed, and work to be completed which is necessary to repair disaster-related damage. Include items recorded on the preliminary damage assessment.

Does the Scope of Work Change the Pre-Disaster Conditions of the Site: If the work described under the Scope of Work changes the facilities conditions (i.e., increases/decreases the size or function of the facility or does not replace damaged components in kind with like materials), check yes. If the Scope of Work returns the site to its pre-disaster configuration, capacity and dimensions check no.

Special Considerations: If the project includes insurable work, and/or is affected by environmental (NEPA) or historic concerns, check either the Yes or No box so that appropriate action can be initiated to avoid delays in funding. Refer to *Applicant Guidelines* for further information.

Hazard Mitigation: If the pre-disaster conditions at the site can be changed to prevent the disaster-related damage, check Yes. If no opportunities for hazard mitigation exist, check No.

Appropriate action will be initiated and avoid delays in funding. Refer to *Applicant Handbook* for further information.

Is There Insurance Coverage on This Facility: Federal law requires that FEMA be notified of any entitlement for proceeds to repair disaster-related damages, from insurance of any other source. Check Yes if any funding or proceeds can be received for the work within the Scope of Work from any source besides FEMA.

Project Cost

Item: Indicate the item number on the column (i.e., 1,2,3,etc.). Use additional forms as necessary to include all items.

Code: If using the FEMA cost codes, place the appropriate number here.

Narrative: Indicate the work, material or service that best describes the work (i.e., “force account labor overtime,” “42 in. Dia. RCP,” “sheet rock replacement,” etc.).

Quantity/Unit: List the amount of units and the unit of measure (“48/cy,” “32/lf,” “6/ea,” etc.).

Unit Price: Indicate the price per unit.

Cost: This item can be developed from cost to date, contracts, bids, applicant’s experience in that particular repair work, books which lend themselves to work estimates, such as RS Means, or by using cost codes supplied by FEMA.

Total Cost: Record total cost of the project.

Prepared By: Record the name and title of the person completing the Project Worksheet.

Record Requirements

Please review the Applicant Handbook for detailed instructions and examples.

For all completed work, the applicant must keep the following records:

- Force account labor documentation sheets identifying the employee, hours worked, date and location;
- Force account equipment documentation sheets identifying specific equipment, operator, usage by hour/mile and cost used;
- Material documentation sheets identifying the type of material, quantity used and cost;
- Copies of all contracts for work and any lease/rental equipment costs.

For all estimated work, keep calculations, quantity estimates, pricing information, etc., as part of the records to document the “cost/estimate” for which funding is being requested.

FORCE ACCOUNT SUMMARY RECORDS

Force Account is a term used to identify labor provided by the City's employees, as well as the use of the City's equipment and materials. The elements which comprise force account costs typically include:

- **Regular and overtime salaries and wages recorded separately**
- **Fringe benefits itemized**
- **Equipment and materials**
- **Labor hours are accounted for by the provided activity logs and KRONOS reports.**

Each applicant agent eligible for Disaster reimbursement must complete requested FEMA forms. An Excel Workbook with FEMA forms associated with cost reimbursement is posted on the OEM share drive and available in the Finance Department and EOC.

In order to receive reimbursement from FEMA, the City must be able to show detailed documentation for approved projects. The Force Account Labor Summary Record is turned into FEMA along with the Project Worksheet for completed projects.

INSTRUCTIONS FOR FORCE ACCOUNT LABOR SUMMARY

1. **Applicant:** Enter your organization's name.
2. **ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/Site:** Enter physical address or location of project.
6. **Category:** enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of Work Performed:** Briefly describe the type of work that was performed.
 - **Name:** Enter names of each employee who worked on the project.
 - **Title:** Enter the title or occupation of each employee who worked on the project.
 - **REG:** Enter the regular hours that each employee worked on the project.

- **OT:** Enter overtime hours that each employee worked on the project.
- **REMINDER:** Depending on the reimbursement source, only overtime may be reimbursable. For instance, with a FEMA disaster declaration, only overtime may be eligible; however, record both regular and overtime hours, so that personnel hours can be compared with equipment use hours, if necessary, or match funding can be calculated, or eligibility changes can be made quickly.
- **Total HR:** Total the hours for each employee and enter the result in this block.
- **Hourly Rate:** Enter each employee's hourly rate.
- **Benefit Rate/Hr:** Enter each employee's hourly benefit rate. There should be different percentages for benefits pertaining to regular and overtime wages.
- **Total Hourly:** Add the employee's hourly rate in the Rate/Hr block and the hourly benefits rate in the Benefits/Hr block and enter the result here.
- **Total Costs:** Multiply the entries in Total Hours and Total Hourly and enter the result here.
- **Total Cost:** Multiply the entries in the Total Hr and Total Rate/Hr blocks and enter the result here.
- **Total Cost for Force Account Labor Regular Time:** Add the entries in the Total Cost, REG block for each employee and enter the results here.

INSTRUCTIONS FOR FORCE ACCOUNT EQUIPMENT SUMMARY RECORD

Force account is the term to refer to our own personnel and equipment. Keep the following points in mind when compiling force account labor information:

Complete the Record as Follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.

5. **Location/Site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of Work Performed:** Briefly describe the type of work that was performed.
 - **Type of Work Performed:** Enter a brief description of the equipment, including the rated horsepower or capacity of the equipment. Be sure to include this information if you also use a trade name or common name to describe the equipment, e.g., Ditch Witch.
 - **FEMA Code:** Enter the FEMA cost code for the equipment.
 - **Operator's Name:** Enter the equipment operator's name.
 - **Date/Hours Used:** Enter the dates and hours the equipment was used on the project.
 - **Total Hours:** Enter total hours equipment was in use.
 - **Equipment Rate:** Enter the hourly cost to use the equipment.
 - **Total Cost:** Multiply the number in the Total Hours block by the number in the Equipment Rate block and enter the result here.
 - **Grand Totals:** Add the numbers in the Total Hours blocks and Total Cost blocks enter the results here.

INSTRUCTIONS FOR FORCE ACCOUNT MATERIALS RECORD SUMMARY

This form is used to record the costs of supplies and materials purchased in response to the disaster or used to repair damages caused by the disaster.

Complete the Record as Follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.

4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/Site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of Work Performed:** Briefly describe the type of work that was performed.
 - **Vendor:** Enter the name of the supplier if the material was bought specifically as a result of the disaster.
 - **Description:** Enter a brief description of the supplies or materials used or purchased.
 - **Quantity:** Enter amount of material used (e.g., number, tonnage, etc.).
 - **Date Purchased:** Enter the date on the invoice.
 - **Date Used:** Enter date actually used/installed.
 - **Info From:** Check whether information entered on the form was obtained from actual invoice or if material was taken from stock on hand.
 - **Grand Total:** Add the numbers in the Total Price blocks and enter the result here.

INSTRUCTIONS FOR FORCE ACCOUNT RENTED EQUIPMENT SUMMARY RECORD

This form is used to record the costs of equipment that you had to rent or lease to respond to the disaster or to be used in making repairs to damages caused by the disaster.

Complete the Record as Follows:

1. **Applicant:** Enter your organization's name.
2. **PAID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.

4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/Site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of Work Performed:** Briefly describe the type of work that was performed.
 - **Type of Equipment:** Enter a brief description of the equipment that you leased or rented, including the rated horsepower or capacity of the equipment. Be sure to include this information if you also use a trade name or common name to describe the equipment, e.g., Ditch Witch.
 - **Dates/Hours Used:** Enter the dates and hours the equipment was used on the project.
 - **Rate Per Hour:** Enter the hourly rental or lease cost of the equipment. Indicate if the equipment was rented on a daily, weekly, or monthly rate, instead of an hourly rate. List in appropriate column if operator costs were included.
 - **Total Cost:** Multiply Hours Used by Hourly Rate charged and enter total cost here.
 - **Vendor:** Enter the name of the company that rented or leased the equipment to you.
 - **Invoice No:** Enter billing invoice number.
 - **Date/Amount Paid:** Enter date of payment and amount of check.
 - **Check No.:** List check number that was used to pay for equipment rental.
 - **Grand Total:** Add the dollar figure from the Amount Paid blocks and enter total here.

APPENDIX 13

Fire Department Labor Contract

Current document: "CON (publish year) FIREFIGHTERS COLLECTIVE BARGAINING AGREEMENT" is saved on the OEM Share Drive (Finance Section) and available in the local EOC and Finance Department.

APPENDIX 14

Police Department Labor Contract

Current document: "CON (publish year) BEAUMONT POLICE OFFICERS ASSOCIATION" is saved on the OEM Share Drive (Finance Section) and available in the local EOC and Finance Department.